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HEALTH AUTHORITY
BUSINESS PLAN
AND
ANNUAL REPORT
REQUIREMENTS
2002/2003 TO 2004/2005

November 2001



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Health Authority Business Plan and Annual Report Requirements

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1. Introduction

Vision

The Government of Alberta's vision for the province is: *"A vibrant and prosperous province where Albertans enjoy a superior quality of life and are confident about the future for themselves and their children."*

- In this context, our vision for health is *"Citizens of a healthy Alberta achieve optimal health and wellness"*.

Source: Ministry of Health and Wellness
Business Plan 2002/2003 to 2004/2005

The Business Plan:

Defines responsibilities:

- core businesses
- goals to be achieved
- strategies to achieve goals
- performance measures and targets.

Reports on plans to stakeholders about resource allocation and strategies.

This document provides information on the components required from health authorities for 2002/2003 to 2004/2005 business plans and for 2001/2002 and 2002/2003 annual reports.

The business plan is an accountability document. It provides a statement of health authority responsibilities (core businesses) and results to be achieved (goals). It indicates how responsibilities will be carried out to achieve results (strategies), and how progress will be measured (performance measures and targets). Once approved, the health authority business plan becomes an agreement between the Minister of Health and Wellness and the health authority on what is to be accomplished.

The business plan is also a planning report. It communicates direction, goals and strategies to staff, public and other stakeholders. It allocates resources to deliver services, implement strategies and achieve goals. It identifies human resource plans for each new business plan strategy predicted to have significant human resource impacts. It integrates plans across the government, the ministry and health authorities to achieve provincial goals in health.

Health authority business plans should be based on a broad definition of health, reflecting a determinants of health approach, which considers the influence of a range of factors on health status. The broad government vision is reflected in the slogan: *"Healthy Albertans in a Healthy Alberta"*. Within this context, the vision of Alberta Health and Wellness is:

"Citizens of a healthy Alberta achieve optimal health and wellness".

The health and wellness of a population is determined by factors such as education, employment, income and the environment, in addition to access to quality health services. Healthy public policy across government seeks to ensure that Albertans are able and encouraged to realize their full health potential in a safe environment with adequate income, housing, nutrition and education, and to play a valued role in family, work and their community. Alberta Health and Wellness contributes to that effort by ensuring Albertans have equitable access to affordable and appropriate health and wellness services of high quality when they need them.

The achievement of this vision also requires individuals to take responsibility for health in their communities. Partners with Albertans in this collaborative effort include not only the Ministry and providers of health services, and also other Ministries, other levels of government and the private sector. An effective collaboration is reflected in the slogan: "Healthy Albertans in a healthy Alberta."

Source: Ministry of Health and Wellness Business Plan 2002/2003 to 2004/2005

Issues and Challenges:

- Demographics
- Technology
- Rising expectations in a knowledge society
- Sustainability

Source: Ministry of Health and Wellness Business Plan 2002/2003 to 2004/2005

Business Plans should reflect the strategic directions for the health system and address key challenges identified by the Ministry of Health and Wellness.

Like all Canadians, Albertans highly value their public health care system and the principles upon which it was founded, as described in the *Canada Health Act*:

- Accessibility - medically necessary physician and hospital services are available without user fees, extra billing or other barriers to reasonable access
- Comprehensiveness - all medically necessary physician and hospital services are insured
- Portability - Canadians are covered for insured services received in another province
- Public administration - insurance plan is operated on a non-profit basis by a public authority
- Universality - all Canadians are entitled to public, health insurance for medically necessary hospital and physician services

In addition to these principles, the Ministry of Health and Wellness is committed to the following:

- Alberta's health system demonstrates excellence - high standards and best practices are achieved through research, education and information
- Alberta's health system provides equitable access by all Albertans to a comprehensive range of integrated health services
- Alberta's health system provides quality services and effective outcomes
- Alberta's health system builds on shared responsibility and decision-making among users and providers
- Alberta's health system ensures accountability at all levels for outcomes
- Alberta's health system is cost-effective and sustainable in the long term

Health authority business plans and annual reports are submitted to and approved by the Minister of Health and Wellness in compliance with legislation as follows:

- Regional Health Authorities: *Government Accountability Act* and the *Regional Health Authorities Act*
- Alberta Mental Health Board: *Provincial Mental Health Board Regulation* authorized by the *Regional Health Authorities Act*
- Alberta Cancer Board: business plan submitted under the *Government Accountability Act*; annual report submitted in accordance with the *Alberta Cancer Programs Act*.

Health authorities are responsible for carrying out their business plans, reporting progress and results, and explaining any variation between planned and actual performance. This is done formally in the annual report at the conclusion of the year. Performance during the year is monitored through ongoing and ad hoc reporting processes, e.g. quarterly reports. In addition, information will be required routinely to keep the funding formula current for health authority and province-wide services.

The annual report is an important source document for developing the next business plan. It informs Albertans about both achievements and priorities for improvement that should be addressed in the next business plan. Developing business plans and reporting on the results achieved are key to establishing processes for continuous improvements in health services. Information from health authority business plans and annual reports is used in the development of the Ministry business plan. Business plans and annual reports are public documents. The complete plan and annual report are to be available to the public on request.

2. The Link Between Ministry and Health Authority Business Plans and Annual Reports

The requirements provide a provincial framework for the development of business plans by the Regional Health Authorities, the Alberta Cancer Board and the Alberta Mental Health Board. Provincially required goals link the strategies and operations of health authorities with the Ministry plan, which sets strategic directions for the health system as a whole.

The Minister of Health and Wellness is accountable to the Legislature for the overall direction and operation of the health system in Alberta. The Ministry business plan provides the vision and strategic direction for the health system, goals and strategies that Alberta Health and Wellness will implement, and key performance measures that will be reported to assess results achieved by the system. Information about performance, progress toward the goals and areas for improvement is provided in the Ministry of Health and Wellness annual report.

The requirements outlined in this document provide a provincial framework for development of business plans by the Health Authorities. The requirements are based on the 2002/2003 to 2004/2005 Ministry of Health and Wellness Business Plan. Provincially required goals are established in this document for all health authorities. These goals link the strategies and operations of health authorities with the Ministry plan, which sets strategic directions for the health system as a whole.

Subject to this Act and regulations, a Regional Health Authority

(a) shall

- (i) promote and protect the health of the population in the health region and work towards the prevention of disease and injury;
- (ii) assess on an ongoing basis the health needs of the health region;
- (iii) determine priorities in the provision of health services in the health region and allocate resources accordingly;
- (iv) ensure that reasonable access to quality health services is provided in and through the health region; and
- (v) promote the provision of health services in a manner that is responsive to the needs of individuals and communities and supports the integration of services and facilities in the health region.

Section 5, *Regional Health Authorities Act*

Annual Reports show the results achieved on each provincial and regional goal identified in the corresponding year's business plan.

Business Plan Submission

Business Plans are due eight weeks after health authorities are advised of their budgets.

15 copies, including 1 copy unbound, should be sent to the Minister of Health and Wellness

The development of business plans provides opportunities for health authorities to work with each other, their communities, community health councils, professional/technical committees and other stakeholders. Broad-based consultations and involvement help define health needs and identify priorities for health and health services. They also provide input on how those priorities can best be met.

Health authorities are responsible for the delivery of core health services as defined in *Core Health Services in Alberta*, (June 1994) and subsequent directives. Health authorities outline in their plans how core health services will be used to address health needs and priorities. They are responsible for choosing strategies that will achieve the shared goals set out by the Minister of Health and Wellness and additional goals specific to the needs of the communities served.

Health authority annual reports show the results achieved on each provincial and health authority goal identified in the corresponding year's business plan. Performance information is provided to allow for assessment of progress in implementing strategies and achieving goals. Information contained in annual reports and information from many other sources informs decision-making about future directions.

The health authority business plan and annual report requirements outlined in this document will meet, in part, the reporting and accountability requirements for health authorities as accountable organizations under the *Government Accountability Act*. Other ad hoc and ongoing reporting activities are still necessary.

3. Submission, Review and Approval of Business Plans

Business plans are to be concise documents intended to show the direction that the health authority is taking. Detailed program and service plans, implementation plans and work plans are not required to be submitted, although the business plan may make reference to significant aspects of those plans. Health authorities may choose to release other documents that complement the business plan for a variety of audiences. Business plans that are not based on a balanced budget will not be accepted.

Business plans are to be submitted to the Minister of Health and Wellness **within eight weeks after health authorities are advised of their funding for the fiscal year.** The business plan, and any amendment or addendum to the business plan,

requires approval by the health authority board prior to submission.

The Minister reviews the business plans to ensure that plans address:

- **all required components,**
- **strategic directions established for the health system,**
- **health status or system performance issues identified in annual reports and other documents or reports, and**
- **any directions from the Minister.**

Health Authorities are welcome to discuss their business plans with Ministry representatives. Ongoing informal communication will occur between Alberta Health and Wellness and health authority staff throughout the business planning process to facilitate the development and approval of business plans. Additional information may be requested by Alberta Health and Wellness to clarify the plan and support the strategies, if required. Informal feedback on the health authority business plan, for those business plans received on time, will be provided to the health authority's business plan contact person within six weeks of submission.

The Minister determines whether a business plan is acceptable as written or whether it requires adjustment. Formal feedback on the business plan is provided to each health authority board chair by the Minister.

Health authority budgets are approved with the business plans. Approved plans are tabled in the Legislative Assembly. A business plan that is not approved is returned to the health authority with a request for revisions and the date by which a revised plan is required. The revised business plan requires board approval.

4. Assumptions and Risks

Separate submission to the Minister at the same time as the Business Plan

- Assumptions and Risks

Assumptions should provide **three** years of historical data and **three** years of projections.

Assumptions and Risks are the significant underlying factors that provide the basis for development of the health authority business plan.

Assumptions and Risks are to be submitted as a separate document with the business plan.

Developing Assumptions and Risks

Assumptions and Risks are developed by analyzing the current and projected future of the health authority, its external environment and key internal variables. This analysis is an opportunity to present the health authority's view of its

challenges and opportunities, its view of its current and future reality. The importance of the analysis cannot be overstated, as it provides the foundation and rationale for the health authority's business plan. As such, the analysis should be comprehensive, yet focused on the key variables impacting strategy selection, to adequately convey the reasons for the strategies and performance targets being proposed in the business plan. In addition, the analysis should recognize the unique circumstances and challenges of each health authority. A solid overview of Assumptions and Risks should support a discussion of the planning decisions that are being made.

The presentation of Assumptions and Risks should take into account both quantitative and qualitative analysis. A qualitative analysis would consider critical factors, such as community and organizational beliefs and attitudes about health and health service delivery, and potential policy changes.

A similar balance must be struck between historical data and future projections. Even though forecasts can be uncertain, they are necessary for the purpose of direction-setting and performance measurement/management. Organizational performance is strengthened by direction-setting, continuous monitoring and adjustment, and contingency planning that is generally represented by an analysis of Assumptions and Risks. Therefore, for all important variables that are quantifiable (e.g. population projections, financial resources, service volumes), three years of historical data and three years of projections are to be provided.

Assumptions Categories

Significant assumptions should be identified from among the following broad categories:

- **Health authority demographics and epidemiology** – this should cover off not only overall population change but also identify trends in key subgroups (e.g., seniors, ethnic groups, children and youth) and health status (e.g. heart disease, accidents).
- **Community/Client/Key Stakeholder expectations** – key variables, often times non-quantifiable but important, as they relate to expectations for health services delivery.
- **Health authority economic trends** - this should cover off those developments most likely to impact population trends, population health status and service expectations (e.g. local commercial/industrial development).
- **Service volumes** - identify anticipated changes in service volumes particularly in high cost delivery areas/programs and in those services identified as being integral to the organization's mission/vision.

- **Clinical advances** - this would include any projected developments in technology, clinical knowledge, and changes in service delivery models with the potential to significantly impact service delivery, resource requirements, outcomes and overall performance.
- **Human resources** - this would include labour relations (e.g. level of collaboration/conflict, contract settlements), availability of key resources (including physicians and volunteers), changes in scope or capabilities of personnel (e.g. training requirements).
- **Financial and other resources** - including multi-year projections of revenue (government and non-government), expenses (analyzed into categories relevant for communication of opportunities and challenges to an external reader, and assumptions of rate increases for wage and non-wage expenses), capital plans and information technology/information management action plan.
- **Health authority and province-wide relationships and developments** - identification of trends in intra-regional (e.g. with voluntary and private providers), inter-regional (e.g. with other health authorities), inter-sectoral (e.g. with education, social services, local government) and provincial relationships (e.g. implications of implementation of recommendations of the Long Term Care Review Committee).

The significant assumptions will together create a forecast that, along with the health authority's mission/vision, will determine the strategic choices in the business plan.

Risks and Contingency Planning

No forecast is ever completely reliable, and this uncertainty must be taken into account by an analysis of Risks. An analysis of risks should identify the sensitivity of the business plan to changes in key assumptions and establish contingencies in the event such risks are realized. A determination of which risks are documented in the analysis should be based on degree of uncertainty, degree of potential impact on mission/vision/goal achievement, and extent of consequences to the health authority. The analysis should then document the contingency plans that are in place to manage the realization of these significant risks (e.g. balanced budget projection versus operating deficit may imply delay in implementing new initiatives) so that overall health authority goals and objectives remain achievable. This speaks directly to issues of sustainability, priorities relative to achievement of health authority vision, and choices within the context of available resources.

5. Audited Financial Statements

**Audited Financial Statements
2001/2002**

Due June 30, 2002

**Audited Financial Statements
2002/2003**

Due June 30, 2003

2 copies to Minister of Health and
Wellness

Audited Financial Statements are required under the Regulations to be submitted by **June 30** following the end of the fiscal year to which they relate. Timely submission is critical because the information is used in preparing the Ministry of Health and Wellness annual report.

6. Submission and Review of Annual Reports

Annual Reports 2001/2002

Due July 31, 2002

Annual Reports 2002/2003

Due July 31, 2003

15 copies - including 1 copy unbound to
Minister of Health and Wellness

Annual Reports are required under the Regulations to be submitted by **July 31** following the end of the fiscal year to which they relate. Updated data to support health authority annual reports will be provided by Alberta Health and Wellness by June 15, 2001. All performance measures and targets identified in the business plan are to be reported on in the annual report. The Minister of Health and Wellness reviews annual reports to ensure all required components are included, and to assess its value as an accountability document. Variations from plans and impacts on performance are assessed. Health Authorities are welcome to discuss their annual reports with Ministry representatives. Information from health authority annual reports is analyzed by the Ministry for use in the next planning cycle. The Minister of Health and Wellness may provide specific direction to health authorities based on results reported in annual reports or through ad hoc or other routine reports.

7. Quarterly Financial Reports and Other Quarterly Reports

Quarterly financial reports including Special Purpose Funds Reporting are to be prepared and submitted to Alberta Health and Wellness within 45 days after the end of each quarter. The quarterly financial reports must be prepared in accordance with the requirements set out in FD17 and subsequent directives. These reports are due August 14, November 14 and February 14. Management discussion and analysis of the report is required. Audited financial statements are provided in place of a fourth quarter financial report.

Quarterly Reports on program issues may be required by the Minister to monitor progress on areas of particular concern. These reports are to be prepared and submitted to Alberta Health and Wellness within 60 days after the end of each quarter. These reports are due August 31, November 30, February 28, and May 31.

8. Establishing Components of Health Authority Business Plans

Required Components of Health Authority Business Plans

- Statement of Accountability
- Vision
- Mission
- Core Businesses
- Opportunities and Challenges
- Goals
- Strategies (including province-wide services where relevant)
- Performance Measures, Targets and Key Indicators
- Health Workforce Plan
- Community Health Councils
- Long Term Capital Plan
- Overview of Information Management and Technology Plan
- Financial Information

Separate submission at the same time as the Business Plan submission

- Risks and Assumptions

Health authorities are responsible for the effective governance and management of their health authority to ensure accountability and continuous improvement in the health system. This includes:

- A clear vision and mission;
- assessing and monitoring the health status and service needs of communities and residents;
- determining health and health service priorities;
- allocating and managing resources based on needs assessment, other evidence, and the provincial framework of legislation, policy and standards;
- monitoring and reporting on progress;
- evaluating performance; and
- investing in innovation.

The requirements outlined in this document apply generally to Regional Health Authorities, the Alberta Cancer Board and the Alberta Mental Health Board.

Some requirements may be adjusted to apply to the Alberta Cancer Board and the Alberta Mental Health Board.

The Minister of Health and Wellness may identify specific requirements for individual health authorities, in relation to areas needing improvement, or in relation to province-wide services.

Province Wide Services

Calgary Health Region and Capital Health Authority receive designated funding for the provision of Province Wide Services (PWS). The Province Wide Services component within the business plan for these two health authorities must include where applicable in the PWS Summary Budget.

- Planned activity or volume.
- Indicators for major services (e.g., CV, renal, transplant) based on the accountability framework established by the PWS Executive Committee.

Surgical Contracts under Health Care Protection Act

Health authorities that have existing contracts or that plan, over the next business plan cycle, to enter into contracts for surgical services with facilities pursuant to Health Care Protection Act must include relevant information regarding type, volume and costs of these services to facilitate assessment of the plan. A comprehensive proposal including analysis of public benefit

will still be required when seeking Ministerial approval of the proposed contracts. Annual Report requirements are discussed in Section 9.11 of this document. Quarterly and annual financial reporting requirements will be communicated through financial directives issued by the Minister from time to time.

Format

Health authorities can develop any format useful to present their business plans, as long as the required components are included and easily identifiable.

Required components that must be included in all health authority business plans are described below. Appendix VII Planner's Checklist for the Business Plan is recommended for use by planners to ensure that all required components are included in business plan submissions.

Required Statement of Accountability

This business plan for the three years commencing April 1, 2002 was prepared under the Board's direction in accordance with the *Government Accountability Act*, *Regional Health Authorities Act* and directions provided by the Minister of Health and Wellness. All material economic and fiscal implications known as at _____, 2002, have been considered in preparing the business plan.

The _____ Health Authority's priorities outlined in the business plan were developed in the context of the Ministry of Health and Wellness's business and fiscal plans. We are committed to achieving the planned results laid out in this business plan.

Respectfully Submitted on Behalf of
_____ Health Authority,

Signed by Health Authority Chair

8.1 Statement of Accountability

- Confirms the business plan was developed in accordance with appropriate legislative authority and government requirements.
- Signifies commitment of the health authority board to achieve the results indicated in the plan.
- Uses the wording specified in the left margin.

8.2 Vision

- Consistent with and builds on the Alberta Health and Wellness vision for health: "*Citizens of a healthy Alberta achieve optimal health and wellness*".
Source: Ministry of Health and Wellness Business Plan 2002/2003 to 2004/2005
- Focuses on the future health of Albertans and the health system.

8.3 Mission

- Clearly states the reasons why the health authority exists.
- Describes how the health of Albertans will be different as a result of the health authority's actions.
- Relates how the health authority will work to reach its vision and contribute to the vision for health and wellness in Alberta.
- The mission of the Ministry of Health and Wellness is "...to maintain and improve the health and wellness of Albertans by leading and working collaboratively with citizens and stakeholders."

Source: Ministry of Health and Wellness Business Plan 2002/2003 to 2004/2005

8.4 Health Authority Core Businesses

Required Core Businesses

1. Ensure delivery of quality health services.
2. Encourage and promote healthy living.

- Brief statements of the health authority's responsibilities, which are based on Section 5 of the *Regional Health Authorities Act* and apply broadly to the Cancer Board and the Mental Health Board.
- Required core businesses are defined for all health authorities.
- Additional core businesses may be identified by health authorities.
- Further definition of the core businesses is provided below:

Core Business 1: Ensure delivery of quality health services.

Dimensions of Quality

Dimensions of quality in the health system include: appropriateness, effectiveness, safety, efficiency, accessibility and acceptability.

Source: *Health and Health System Expectations and Measures: A Consultation Paper*, March 1998

For Albertans who are medically fragile, injured or ill, or who may need diagnosis, treatment or support, a system of quality health services is in place to meet their needs. While the responsibility for delivering those services rests with health authorities, agencies and individual practitioners, the Ministry demonstrates leadership in setting direction, policy and provincial standards, which ensure quality services. Key Ministry roles are to set priorities based on health needs determine the scope of financial, capital and human resources required, and measure and report on the performance of the system.

Core Business 2: Encourage and promote healthy living.

A primary focus of the health system is to support and encourage the wellness and health of Albertans, not just to diagnose and treat the ill and injured. Health promotion and protection programs, disease and injury prevention programs, along with enhanced supports for persons with disabilities, address risks to health where knowledge or early intervention can make a difference. Through health authorities and provincial agencies, programs for the promotion of wellness, as well as the prevention of disease and injury, enable Albertans to make informed decisions about their health. In acknowledgement of the wide array of factors that have an impact on health, the Ministry is engaged in inter-ministerial initiatives to effectively address challenges to the health and wellness of the population.

(Source: Based on the Alberta Health and Wellness 2002 – 2005 Business Plan and the Health Authority Business Plan)

8.5 Opportunities and Challenges

- identify opportunities and issues facing the health authority that need to be considered when developing goals, strategies, measures and targets for business plans

- business plan opportunities and challenges should link with the results, challenges and future directions from the previous year's annual report
- the business plan should indicate how challenges will be managed or addressed and how opportunities will be used to advantage
- Highlight any new innovations that will be implemented.
- Highlight the major priorities for the health authority in the coming year.

8.6 Goals

- Provide broad statements of desired results that are potentially attainable.
- Health authorities are required to include the four goals set by the Minister of Health and Wellness. The narrative that follows each goal describes more completely the intent and scope of the goal.
- Additional goals may be identified by health authorities to address unique priorities and community needs specific to a health authority or provincial program.

8.7 Strategies

Strategies describe actions to be used to achieve goals and to address identified needs, issues and areas for improvement.

- Provide high-level descriptions of short and long-term actions to be used by health authorities to accomplish goals and to address identified needs, issues and areas identified for improvement.
- Findings from health needs assessments should be reflected in the strategies (reference: *Health Needs Assessment: A Guide for Regional Health Authorities*, Alberta Health and Wellness, October 2000).
- All health authorities must develop strategies to achieve their goals, including general areas of strategy development such as:
 - ◊ collaborative initiatives with other health authorities, health providers or partners
 - ◊ major changes to programs and services to meet identified challenges
 - ◊ implications of known capital approvals and changes
 - ◊ initiatives carried over from previous years
- Business plans must include specific strategies that address the required areas for strategy development, which are identified in the following charts. These are generally linked to strategies in the Ministry of Health and Wellness business plan.

Performance Measures provide information on progress in achieving goals and are used to set priorities, adjust strategies, improve performance and increase public understanding of how well the health system is performing.

- Required areas of strategy development for provincial health authorities may vary to reflect their specific areas of responsibility.
- The year(s) the strategy is to be implemented should be identified.

8.8 Performance Measures, Targets and Key Indicators

- Performance measures and targets provide information about the achievement of goals.
- Performance measures results are used with other information to determine priorities, adjust strategies, analyze and improve performance and increase public understanding of how well the health authority and the health system are performing.
- All performance measures identified in the business plan are to be included in the annual report to assess progress in achieving goals.
- For each performance measure, the current level of performance and recent trends should be included in the business plan and annual report.
- Additional measures should be developed by health authorities to address specific priority areas.
- Each new goal developed by a health authority for its business plan should have at least one performance measure, and a performance target.
- Some performance measures will be developed jointly by Alberta Health and Wellness and health authorities over the course of the next year; health authorities may be asked to report results on these measures in their annual reports.

Required Performance Measures

- Performance measures identified in this document are required performance measures.
- Performance measures relate primarily to RHAs and must be included in all RHA plans for comparability of performance across the province.
- Performance measures may also be relevant for provincial health authorities, and if so, must be included in their plans.
- Some performance measures may apply only to highly specialized or province-wide services provided by a few health authorities, and must be included in their business plans.

Performance Measures Defined by Health Authorities

- Health authorities are required to develop at least one performance measure for each goal identified by the health

authority. Health authorities may also develop additional performance measures.

- Performance measures defined by health authorities and included in their business plans must also have performance targets that indicate the year in which the target will be achieved.

Targets

- Health authorities are required to set a regional target for each performance measure identified in the business plan.
- A target for a performance measure specifies the result to be achieved by the health authority for the measure. The target is stated using the same units as the measure (if the measure is “number of clients per 1,000 population” the target will be “X clients per 1,000 population”).
- Targets specify the desired level of performance and identify the desired direction for change, typically improvement over the current state (e.g. increase immunization rate for MMR at 24 months to 98% by 2004).
- Each target must specify a year, within the 3-year duration of the plan, by which the target is expected to be achieved.
- Provincial targets quantify the average level of achievement to be attained for Alberta; each health authority is expected to contribute to this achievement, usually by setting targets for improvement.
- Relevant data and supporting information should be used to set reasonable and feasible regional targets in relation to current performance. Alberta Health and Wellness may request additional supporting information to clarify the plan.
- At least one regional target is required for each performance measure.
- Provincial health authorities should set targets for their performance measures. These targets should be consistent with targets set by Alberta Health and Wellness.

Key Indicators

- Health authorities may identify key indicators in their business plans.
- Key indicators are measures of important areas of health or health system activity which do not have provincial or regional targets identified.
- Results on key indicators may be used to reflect priorities and strategies and increase public understanding of how the health system is performing.
- Key indicators are to be monitored, assessed and reported in the annual report.
- Health authorities may determine their own performance targets for key indicators.

Goal 1: To sustain and improve the delivery of accessible, effective, quality health services to Albertans who need them.

The responsibility for service delivery rests primarily with health authorities and individual practitioners. Continuous improvement and innovation ensure the delivery of health services which address the needs of Albertans, meet high standards of quality, and achieve positive health and wellness results.

Required Areas of Strategy Development:

- 1.1 Improve access to certain province-wide or essential services (e.g. dialysis, imaging Services), and develop and communicate appropriate strategies, measures and targets for province-wide services. This includes involvement of other health authorities as required.
- 1.2 Implement policy directions resulting from the recommendations of the Long Term Care Review. (Including Healthy Aging Partnership Initiatives)
- 1.3 Promote quality improvement, accessibility and sustainability through the introduction of new approaches and initiatives.
- 1.4 Establish strategies to support the provision of accessible, appropriate and quality acute care services.
- 1.5 Set new strategies to ensure an integrated, sustainable system for health, with emphasis on the primary care sector.
- 1.6 Identify strategies intended to strengthen the delivery of mental health services in the community through the partnership arrangements between the Alberta Mental Health Board and regional health authorities.
- 1.7 Summarize plans and strategies for allowing appropriate access to information and for safeguarding the privacy of personal health information in accordance with the Health Information Act and regulations.
- 1.8 Identify significant health workforce issues and develop plans and strategies for addressing these issues.

Key Performance Measures:

1. Ratings of ease of access to health services.
2. Ratings of quality of service received, and effects of care on health.
3. Wait list for MRI, joint replacement, heart surgery/angioplasty, long-term care and cancer radiation therapy (breast, prostate).
4. Alternative Level of Care (ALC) days/efficiency in acute care facilities.
5. Community and home-based expenditures as a percent of total expenses, net of province-wide services.
6. Home care clients and direct service hours.
7. Trends in acute care separations and average length of stay.
8. Percent MNRH (May Not Require Hospitalization).
9. Evaluations of service quality and access of selected programs and services.
10. Health Workforce Measures - See Appendix V for details.
11. Number of supportive living beds in the region.

Goal 2: To improve the health and well-being of Albertans through health authority strategies for protection, promotion and prevention.

The health and wellness of individuals is determined by a number of factors. Key factors include genetic endowment, early childhood development, education, environment and employment status, as well as personal decisions about lifestyle behaviours. The diagnosis and treatment services available through the health system are a relatively minor factor, though essential, for the maintenance of health and wellness. Promotion, protection and prevention services provide supports to the population at large in their pursuit of health. These services include major prevention strategies aimed at tuberculosis, sexually transmitted diseases and HIV, as well as injury and selected chronic diseases. With access to accurate and timely information, Albertans can make wise choices, whether in the prevention of disease or injury, or in safeguarding their own health, wellness and quality of life. With appropriate supports, Albertans with disabilities are included in community life.

Required Areas of Strategy Development:

- 2.1 Update health promotion plans and evaluate initiatives.
- 2.2 Implement and monitor provincial population-based breast and cervical cancer screening and province-wide metabolic screening programs.
- 2.3 Expand initiatives to reduce the use of tobacco products by Albertans, with an emphasis on youth.
- 2.4 Support health system and cross-sectoral strategies to improve the health of children and youth.
- 2.5 Collaborate with partners in the implementation of injury and suicide prevention initiatives.
- 2.6 Address high priority health issues, including low birth weight babies; aboriginal health issues; disabilities* and any other high priority health issues identified in the health authority.
- 2.7 Continue to address HIV health needs, services and priorities based on the *HIV in Alberta 1998/99 - 2002 Alberta Health Strategy*.
- 2.8 Enhance immunization strategies and implement a longer-term immunization plan in the context of a provincial strategy.
- 2.9 Develop and implement an integrated, region-wide mechanism to address infection control in hospital and continuing care settings.
- 2.10 Develop a plan to ensure a public health response capacity to respond to unpredictable and sporadic health issues (e.g. food, water, and communicable disease).
- 2.11 Develop a plan to respond to the expected influenza pandemic in coordination with provincial and national initiatives.

Key Performance Measures:

12. Percent of low birth weight infants.
13. Mortality rates for injury and suicide.
14. Breast cancer screening rates.
15. Childhood immunization rates.
16. Population health measures: self-reported health, infant mortality, person years of life lost for major causes of death (PYLL).
17. Selected communicable disease rates.
18. Changes in health status of selected populations identified by the health authority.

*Potential for collaboration with Premier's Council on the Status of Persons with Disabilities in achieving the Alberta Disability Strategy and with Persons with Developmental Disabilities

Goal 3: To support and promote a system for health

The health system is complex. With numerous stakeholders involved in the process of organizing and delivering services to citizens, it is a continuous challenge to ensure their efforts are effectively coordinated. Towards this end, effective communication, accountability and information systems are essential, as is leadership in addressing emerging system-wide challenges. Ensuring the sustainability of the publicly funded system for health, and the confidentiality of Albertans' health information, are two such challenges.

Required Areas of Strategy Development:

- 3.1 Identify health authority strategies and key initiatives intended to ensure accountability and sound stewardship in the use of resources and continuous improvement in business operations and service delivery.
- 3.2 Summarize initiatives and policy developments aimed at clarifying and improving governance structures and processes, and management accountability.
- 3.3 Develop strategies for carrying out health needs assessments (in accordance with AH&W Health Needs Assessment Manual) and for ensuring that such assessments form part of service planning and resource allocation.
- 3.4 Collaborate with the Regional Child and Family Services Authorities, School Boards and any other key stakeholders in the planning and delivery of services for children.
- 3.5 Collaborate with the Alberta Mental Health Board on the Alberta Children's Mental Health Initiative.
- 3.6 Within the framework of health authority policies governing community consultation, provide a summary of key consultation initiatives to be undertaken during the planning cycle.
- 3.7 Undertake cooperative initiatives with other health authorities to optimize cost effectiveness in both patient care and business operations, and report on successes.

Key Performance Measures:

19. Public self-rated knowledge of health services available.
20. Evidence that population health needs are assessed, and the results are used for priority setting.
21. Measures related to health and health related service priorities are developed and reported.

Goal 4: To optimize the effectiveness of the Health Authority

To be as effective and efficient as possible in the service of its mission, the health authority must keep pace with new knowledge and use its human, financial and technological resources in an optimal fashion.

Required Areas of Strategy Development:

- 4.1 Develop, implement and evaluate strategies to support effectiveness and sustainability of health authority operations.
- 4.2 Update a long-term capital plan for health authority infrastructure by October 31.
- 4.3 Develop, implement and evaluate strategies annually, to assess board performance. (Reference: Governance Expectations of Alberta's Health Authority Boards – November 1998).
- 4.4 Evaluate the cost, impact and results of selected health authority programs and services.
- 4.5 Implement continuous quality improvement (e.g. accreditation, development of quality improvement plans), including those related to voluntary and private health service providers.
- 4.6 Develop information management and technology strategies to enable the secure exchange of health information.

Key Performance Measures:

22. Balanced Budget:
 - Annual Surplus/Deficit as a percentage of actual expenditure
 - Percentage variance of actual expenditure to approved budget.
 - Working Capital Ratio.
 - Average Remaining Useful Life of Capital Equipment.
23. Physical Infrastructure:
 - Percentage of physical infrastructure rated in acceptable physical condition.
 - Percentage of physical infrastructure whose utilization is within targeted capacity.
 - Percentage of physical infrastructure that provides acceptable functional service.
24. Evaluations of health impact, cost and client satisfaction for selected programs and services.
25. Percent of complaints where initial response is made within 3 working days.

Key Performance Measures are listed in the charts that follow. Please refer to the Alberta Health and Wellness document *Information to Support Health Authority Business Plans and Annual Reports* on the Alberta Health and Wellness Website for further information related to the required measures.

Performance Measures marked with an asterisk (*) are measures that are also included in the Ministry business plan.

Goal 1: To sustain and improve the delivery of accessible, effective, quality health services to Albertans who need them.

| 1. Ratings of ease of access to services. * | |
|----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure consists of public ratings of ease of access to needed services and indicates how well the health system is providing service, overall. These ratings can indicate whether the system as a whole is improving service access. |
| Provincial Target | Percent of Albertans who report access to health services is "easy" or "very easy". Target (2002): 75% (2004): 80% |
| Data and Method | Information is produced from the annual Alberta Health and Wellness Survey. Data are responses to the following survey questions: <u>Access</u> : "How easy or difficult is it for you to get the health care services you need when you need them? Would you say it is: very easy, easy, a bit difficult, very difficult?" |
| Source | Alberta Health & Wellness Table G-3 A report of survey results is published, and health authority data files are available on request. |
| Annual Report | Annual trends, and comparisons with the provincial average or the results from other appropriate health authorities, are to be reported. The survey is conducted at the end of the fiscal year, and should be reported in the annual report for that fiscal year (that is, the 2002 survey results should be reported in the annual report for 2001/2002). |

| 2. Ratings of quality of service received and effects of care on health. * | |
|-----------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure consists of public ratings of quality of care <u>personally</u> received, and the proportion reporting that the effects of care on their health is excellent or good. These ratings can indicate whether the system as a whole is improving service quality. |
| Provincial Target | Percent who report that quality of care <u>personally</u> received is 'excellent' or 'good'. Target (2003): 90%. Percent who report that the effect of care on their health is 'excellent' or 'good'. Target (2003): 85% |
| Data and Method | Information is produced from the annual Alberta Health and Wellness Survey. Data are responses to the following survey questions: <u>Quality</u> : [asked only of those who reported receiving services in the past 12 months] "Overall, how would you rate the quality of care you personally have received in the past 12 months? Would you say it was: excellent, good, fair, poor?" |
| Source | Alberta Health & Wellness Table G-2a,2b A report of survey results is published, and health authority data files are available on request. |
| Annual Report | Annual trends, and comparisons with the provincial average or the results from other appropriate health authorities, are to be reported. The survey is conducted at the end of the fiscal year, and should be reported in the annual report for that fiscal year (that is, the 2002 survey results should be reported in the annual report for 2001/2002). |

| 3. Wait list and number of persons served for MRI, joint replacement, cancer radiation therapy, heart surgery and long term care. * | |
|--------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure shows the number of persons waiting and the number of persons served during each quarter for: MRI diagnostic tests, joint replacement, heart surgery, and long term care. |
| Provincial Target | Joint Replacement Target 2002 - 4 months. Heart Surgery/Angioplasty Target 2002 - 1-6 weeks depending on urgency Cancer Radiation Therapy (Breast, Prostate) Target 2002 - 4 weeks MRI Target 2002 - decreased wait list Long Term Care Facility Admission Target 2003 - fewer waiting urgently in community or hospital |
| Data and Method | Quarterly reporting by health authorities has begun, and data definitions and methods for reporting will be determined through this process. |
| Source | Alberta Health and Wellness, and health authorities |
| Annual Report | Health authorities with responsibilities for delivering these services will report the number of persons served and the number waiting at the end of each quarter. Average (mean) and median wait times may also be reported. |

| 4. Alternative level of care (ALC) days as a percent of total patient-days in acute care. * | |
|----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure shows the percent of total hospital days that could have been provided in an alternative setting, as determined by medical staff. A suitable alternative setting would most often be continuing care or palliative care. Percent ALC days is an indicator of the efficient use of hospital facilities, and also indicates the level of need within the health authority for alternative care services and current access to these services. |
| Provincial Target | Target 2003/2004: Decreasing trend in ALC days as a percent of total days. Health authorities must determine their own targets, taking into consideration current performance, client needs, and alternatives for care. |
| Data and Method | Data are obtained from the Hospital Morbidity File. The decision about whether a patient requires an alternate level of care is made by the patient's physician. ALC days are counted from the date on which this decision is made. |
| Source | Alberta Health & Wellness Table F-12 |
| Annual Report | Annual trends are to be reported in the Annual Report, along with the provincial average or the results from other appropriate health authorities for comparison. These results might be presented along with relevant long term care statistics. |

| 5. Community and home-based expenditure as a percent of total expenses, net of province-wide services. | |
|---------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure shows the extent to which health services are increasingly delivered in home and community settings. Funding for province-wide services (in Calgary and Capital health regions) are excluded from the calculation. |
| Provincial Target | Increase in expenditure as a percentage of total expenditure, as compared with previous year. |
| Data and Method | Definitions for community and home based expenditure are found in FD18. The measure to be reported is community and home-based expenditure as a percentage of total expenditure (province-wide services funding is removed from total expenditure for Calgary and Capital regions). |
| Source | Health authority financial statements. Comparative information is available in the Ministry annual reports. |
| Annual Report | This measure is to be reported as a trend over several years (from 1994/95). It may be reported within the context of expenditure trends for other services to provide a more complete indication of how resources are allocated. |

6. Home care clients and direct service hours by type of care per 1,000 population by age category.

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|----------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure reports on the provision of health services in the home (per 1,000 population), in three care categories: short term, long term and palliative care. The health system continues to find ways to deliver needed health services in community and home settings in order to achieve best value, and to relieve pressure on facility based care. |
| Provincial Target | Increasing use of home-based service alternatives to facility based care. |
| Data and Method | Data are provided by Alberta Health and Wellness from the Home Care Information System, using standard reports. Rates per 1,000 population for different age categories are based upon the Alberta Health Care Insurance Plan registration file. |
| Source | Alberta Health & Wellness Tables D-1 to D-10; D-12 may also be useful. |
| Annual Report | Results, showing annual trends, are to be included in the Annual Report, along with comparisons with the provincial average or the results from other appropriate health authorities. Results should be presented along with other measures of service delivery to show how health service needs are being met in community settings. |

7. Trends in acute care separations and average length of stay.

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|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | These measures show the acute care hospitalization average length of stay (ALOS) by region of service, and the hospital separation rate (per 1,000) by region of residence. Trends in ALOS and hospital separation rates may indicate more or less efficient use of acute care facilities, which may be related in part to the availability in the community of alternatives to facility based care. Results may be analyzed and discussed in relation to region of residence or region of service, or both, depending upon the specific needs, goals and targets identified in the health authority plan. Hospital separation rate (by region of residence) may also be used to indicate the level of health service needs of region residents. |
| Provincial Target | Maintain or improve current performance. Health authorities must determine their own targets, taking into consideration current performance, client needs, import/export patterns, and alternatives for care. |
| Data and Method | Data for acute care separations and total days stay are obtained from Health Records for in-patient activity. Population estimates are from AHCIP registration file. Average length of stay is calculated for all separations with total days stay less than one year; acute care patients with longer stays are excluded. Data are provided by Alberta Health and Wellness, through CIHI. |
| Source | Alberta Health & Wellness Tables F-2a; F-5a Information in Tables F-1; F-2b; F-3; F-4a; F-4b; F-5b may also be useful. |
| Annual Report | Annual trends for ALOS and hospital separation rates are to be reported and discussed in the Annual Report, along with results from other appropriate regions for comparison. Reporting these trends along with trends in community and home based service delivery could show progress toward goals related to the effective use of resources. |

| 8. Percent MNRH (May Not Require Hospitalization) (under development). | |
|-------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure shows the extent to which acute care in-patient facilities are used for services that could be provided appropriately in some other setting (for example, out-patient or community clinic, home care, physician office). The measure is directly related to the efficient use of acute care facilities, but also reflects the availability and use of appropriate alternatives. |
| Provincial Target | Maintain or improve current performance. Health authorities must determine their own targets, taking into consideration current performance client needs, and alternatives for providing appropriate care. |
| Data and Method | Data are prepared from the Hospital Morbidity File. The criteria for MNRH are defined by CIHI and determined by the case mix group (CMG) for each record. |
| Source | Alberta Health & Wellness Table F-11. |
| Annual Report | Annual trends for MNRH rates (percent of all hospital separations) are to be reported in the Annual Report, along with provincial averages or the results from other appropriate regions for comparison. |

| 9. Service quality and access ratings by selected population with specific needs and targeted for improvement by the Health Authority. | |
|-----------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure requires that an evaluation be conducted to obtain feedback from a subset of the population. The population for study should be selected by the health authority because of some special concerns about access or quality of service. Some examples of special populations are: seniors, isolated communities, persons with disabilities or chronic illness, new mothers and their infants, and so on. |
| Provincial Target | Improved service quality and/or access: to be determined by each health authority. |
| Data and Method | Evidence consists of a written report of the evaluation conducted by the health authority, including a description of method, the results and a discussion of findings. |
| Source | Health authority. |
| Annual Report | The key results are to be reported in the Annual Report. It is requested that the name and address of a contact person familiar with the evaluation be included. |

| 10. Health Workforce Measures - See Appendix V for details. | |
|--------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Health authorities are expected to develop a health workforce plan including strategies to address significant health workforce issues in their health authority, and human resource plans for each new business plan strategy predicted to have significant human resource impacts. The health workforce plan should be an attachment to the business plan. |
| Regional Target | None required this year. |
| Data and Method | The health workforce measures in Appendix V were developed by the Provincial Health Workforce Steering Committee. Health authority Health Workforce data should be presented in an attachment or appendix using the data in the templates in Appendix V. |
| Source | Health authority. |
| Annual Report | Health Authorities must report on the results or progress of health workforce strategies completed or underway in their annual reports. |

11. Number of supportive living beds in the region

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|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure shows the number of assisted living beds in the region. To support the recommendations in the Long Term Care Review Policy Committee report <i>Healthy Aging: New Directions for Care</i> to meet the increasing elderly population's needs for supportive housing beds. |
| Regional Target | None required this year. |
| Data and Method | Data is cumulative assisted beds in the region. |
| Source | Health authority. |
| Annual Report | Cumulative assisted beds in the region as of year-end. |

Goal 2: To improve the health and wellbeing of Albertans through health authority strategies for protection, promotion and prevention

| 12. Percent low birth weight infants* | |
|---------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | The percent of low birth weight (<2500gm) newborns is an indicator of the overall population health status. It is influenced by many factors including biological, physical, and social factors and access to health services. |
| Provincial Target | <u>Target 2002:</u> Percent of newborns with birth weight less than 2500 grams - at most 5.5% of live births. Health authorities should set their own targets. |
| Data and Method | <u>Low birth weight:</u> Live births with birth weight under 2500 grams, as a percent of the total live births. Health authority is determined by the mother's residence, not by the place of birth of her infant. Data are derived from Alberta Vital Statistics. |
| Source | Alberta Health & Wellness Table B-3a |
| Annual Report | Trends, along with comparisons with the provincial average or the results from other appropriate health authorities, are to be reported. |
| Notes | For some health authorities, several years of data should be combined in order to produce sufficiently reliable information for smaller populations. |

| 13. Mortality rates for injury and suicide * | |
|----------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Standardized mortality rates (SMRs) are rates of death standardized for age and gender. They are the rates that would occur if each health authority had the same population structure (by age and gender) and their own rate of death for each major cause. Standardization allows comparisons among health authorities. Lower rates indicate improvement in the prevention, detection and treatment of these major causes of death. |
| Provincial Target | Targets 2002: 45 per 100,000 for deaths due to injury (including suicide, homicide and injury). 13 per 100,000 for deaths due to suicide. |
| Data and Method | Rates are calculated from death statistics reported by Alberta Vital Statistics and population estimates based the Registry File for the Alberta Health Care Insurance Plan (AHCIP). Rates are calculated and provided by Alberta Health and Wellness. |
| Source | Alberta Health & Wellness Table B-5b |
| Annual Report | Trends are to be reported in the Annual Report, along with provincial averages or the results from other appropriate health authorities for comparison. |

| 14. Breast cancer screening rates.* | |
|--------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Mammography screening for breast cancer is recommended every 2 years for women 50-69. |
| Provincial Target | Target 2002/2003: 75% of women aged 50-69 have mammography screening for breast cancer every two years. |
| Data and Method | The Alberta Population Health Survey (1996/97) provided regional estimates for breast cancer screening rates. A new method for calculating this measure will be developed in conjunction with improved information systems. |
| Source | Alberta Health & Wellness Table 23 A-D from Selected Tabulations from the National Population Health Survey (1996/97), Health Surveillance Branch, April 1999. |
| Annual Report | Breast cancer screening rates are to be reported in the Annual Report. |

| 15. Childhood immunization coverage.* | |
|----------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure is the percent of the population of 2 year olds who have been appropriately immunized, according to Alberta standard: <ul style="list-style-type: none"> • At 12 months: 3 doses DPT (diphtheria, pertussis, tetanus), 3 doses PRPT (Hib - haemophilus influenza type b), 2 doses IPV (polio); • At 24 months: 1 dose of MMR (measles, mumps, rubella), a fourth dose of DPT, PRPT (Hib) and IPV. |
| Provincial Target | Target 2002: DPT, PRPT, IPV - at least 98% of 2 year olds immunized to standard. Target 2002: MMR - at least 98% of 2 year olds immunized to standard. |
| Data and Method | Immunization rates are calculated for the calendar year. Rates are based upon immunization statistics and population estimates derived from AHCIP Registry files. |
| Source | Alberta Health & Wellness Table B-12 |
| Annual Report | Coverage rates are to be reported for DPT, PRPT (Hib), IVP and MMR. The provincial coverage rate should be reported for comparison. |

| 16. Population health measures: trends and comparison with best health authority and provincial performance. | |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | The following measures are included: self-reported health status, infant mortality, and potential years of life lost (PYLL) for major causes of death. This set of measures is used to indicate the health of the population. Health authorities may have specific priorities and strategies related to any of these measures, or any other aspect of health. |
| Provincial Target | <u>Self-reported health</u> : at least 70% (age 18-64) report excellent or very good health. <u>Infant mortality</u> : at most 5.0 per 1,000. <u>PYLL for major causes</u> : to be determined by health authority. Health authorities should set their own targets. |
| Data and Method | <u>Self-reported health</u> : Data are from the Alberta Health and Wellness Survey and are responses to the question: "In general, compared with other persons your age, would you say your health is: excellent, very good, good, fair, poor?" <u>Infant mortality</u> : Number of infants (under 1 year old) who die within the calendar year (multiplied by 1,000), divided by the number of live births during that same year. Health authority determined by place of residence. Data are derived from Alberta Vital Statistics. <u>Potential years life lost (PYLL)</u> : For all deaths at age less than 75, PYLL is the sum of the difference, in years, between 75 and the age at death. PYLL is expressed as a ratio of total years lost per 100,000 population, for males and females separately, for major causes of death. Data are derived from Alberta Vital Statistics. |
| Source | Alberta Health & Wellness Table G-16; Table B-2a; Table B-4 |
| Annual Report | Trends, along with comparisons with the provincial average or the results from other appropriate health authorities, are to be reported. |
| Notes | For some health authorities, several years of data should be combined in order to produce sufficiently reliable information for smaller populations. |

| 17. Selected communicable disease rates. | |
|-------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure selects specific diseases that represent programs in childhood immunization, food and water quality, and tuberculosis. |
| Provincial Target | Provincial targets have been set at no more than the following number of cases per 100,000 population: E. Coli Colitis: 4.0; Pertussis: 18.0; Tuberculosis: 4.5; Measles: 0; Polio: 0. |
| Data and Method | Notifiable diseases are reported to the Provincial Health Officer, who provides an annual summary (calendar year) of new cases in March of each year. Rates will be calculated based upon population estimates from the AHCIP registration file. |
| Source | Alberta Health & Wellness Tables B-6 and B-7 |
| Annual Report | Both the number of new cases and the calculated rate per 100,000 population are to be reported in the Annual Report. The provincial rate and the provincial target should be reported for comparison. Due to the small numbers of cases for some diseases, regional reporting should consider using 3-year rolling averages. |

18. Changes in health status of selected populations identified by the health authority.

| | |
|----------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure requires that the health needs and health status of selected populations, identified by the health authority as a priority for improved health status, be evaluated, to show whether improved health outcomes are being achieved. |
| Regional Target | Improved health status of selected group: to be determined by each health authority. |
| Data and Method | Evidence consists of a written report of the evaluation conducted by the health authority, including description of method, the results and a discussion of the findings. |
| Source | Health authority. |
| Annual Report | Key results are to be reported in the Annual Report. It is requested that the name and address of a contact person familiar with the evaluation be included. |
| Notes | Smaller adjoining health authorities may find it practical to work together on a project of mutual concern. Health authorities are encouraged to advise each other of their projects, to facilitate collaboration and avoid unnecessary duplication. |

Goal 3: To support and promote a system for health.

| 19. Public self-rated knowledge of health services available.* | |
|----------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | This measure consists of public self-assessment of their knowledge of health services and the health system. Improved knowledge of available health services should be related directly to easier access. Changes in self-rated knowledge can indicate how well the public is informed of services available to them. |
| Provincial Target | Target 2003: At least 75% of Albertans rate their knowledge of available services as good or excellent. |
| Data and Method | Information is produced from the Alberta Health and Wellness Survey, conducted annually. Data are responses to the following question: "In general, how would you rate your knowledge of the health services that are available to you? Excellent, good, fair or poor?" |
| Source | Alberta Health & Wellness Table G-5 A report of survey results is published, and health authority data files are available on request. |
| Annual Report | Annual trends and comparisons with provincial average are to be reported. Results may be reported in the context of local strategies to improve knowledge of available services. |

| 20. Evidence that population health needs are assessed, and the results are used for priority setting and planning. | |
|---------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Health needs assessment is a process that includes analysis of existing and new information that describes the health and the health needs of the health authority's population, including mental health needs. The assessment should be updated continuously, as new information becomes available. It provides facts on which decisions about programs, services and resource allocation can be based. It is a basic tool for setting priorities and planning for the health authority. |
| Regional Target | A plan should be developed and updated annually, for obtaining health needs assessment information and using the results. |
| Data and Method | Evidence consists of documentation on the methods used and the findings of the assessment of population health needs, including information developed as part of the assessment. |
| Source | Health Authority Information to support health authority health needs assessments is available in various reports prepared by Alberta Health & Wellness and other sources. |
| Annual Report | Quote key findings from health needs assessments, and identify priorities, and actions determined by the Health authority, based on the health needs assessments. |

| 21. Measures related to health and health service priorities are developed and reported. | |
|------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Health priorities and health service priorities are determined by the board, based on the results of health needs assessments and other evidence. The health authority should develop and report on measures that will show whether priority needs are being addressed successfully. |
| Regional Target | A measure and performance target should be developed for each of these priorities. |
| Data and Method | Determined by the health authority |
| Source | Health Authority Relevant information may be available from the Ministry for some priority areas. |
| Annual Report | Priorities should be identified and results included in the report. |

Goal 4: To optimize the effectiveness of the Health Authority.

| | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 22. Balanced budget - See Appendices I to IV for details on the following: <ul style="list-style-type: none"> • Annual Surplus/Deficit as a percentage of actual expenditure • Percentage variance of actual expenditure to approved budget • Working Capital Ratio (Current assets / Current liabilities) • Average remaining useful life of Capital Equipment (Net book value of capital equipment / Current year amortization). | |
| Description and Rationale | Health authorities are expected to submit a balanced budget (a budget is balanced when revenues equal expenses). In the event that a health authority does not plan to have a balanced budget, it must submit a deficit elimination plan. |
| Regional Target | A health authority must deliver planned health services within available resources. Actual expenditures should be less than or equal to available resources. |
| Data and Method | Budgets and financial statements developed in accordance with the most recent Financial Directive and business plan requirements. |
| Source | Health Authority. |
| Annual Report | Financial results should be discussed in the "Management Discussion and Analysis" section of the Annual Report. |

| | |
|-------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 23. Long Term Capital Plan is updated and includes all required information. | |
| Description and Rationale | <p>Health authorities are required to submit a Long Term Capital Plan to the Ministers of Health and Wellness and Infrastructure by October 31st each year.</p> <p>Long Term Capital Plans have:</p> <ol style="list-style-type: none"> 1. To assist the health authority in the overall management of its physical infrastructure. 2. To communicate, to Government, future capital expenditures required to effectively manage existing infrastructure and to modify that infrastructure to support service delivery strategies. Long Term Capital Plans provide the Minister of Infrastructure with the information needed to recommend appropriate future capital funding levels for health infrastructure. 3. To communicate, to Government, future operating expenditures associated with each proposed capital investment. Long-term Capital Plans provide the Minister of Health and Wellness with the information needed to assess the operational sustainability of proposed capital investment. 4. To provide a rational context for assessing provincial capital project priorities as the basis for annual decisions on individual project approvals. |
| Regional Target | Long Term Capital Plan submitted by October 31 st . |
| Data and Method | The format and information requirements for Long Term Capital Plans are described in the document titled <i>The Planning and Approval Process for Health Capital Projects, draft 2001</i> . |
| Source | Health Authority. |
| Annual Report | Include in section titled "Capital Plan". |

24. Evaluations of health impact, cost, and client satisfaction for selected programs and services.

| | |
|----------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Health authorities are required to assess and evaluate their programs and services in terms of results such as costs, health outcomes and client satisfaction. Evaluations support the identification of opportunities to improve services and program delivery. Health authorities should develop a plan to evaluate programs and services that are of particular interest to them, and are to report on the results of the evaluation. Results from the evaluation should support better decisions and continuous improvement in the delivery of health services. |
| Regional Target | At least one program or service should be evaluated each year. |
| Data and Method | Evidence consists of a written report of the evaluation, including a description of the method and results, and a discussion of the findings. When projects extend over a number of years, interim or preliminary findings may be reported. |
| Source | Health Authority. |
| Annual Report | Key results should be incorporated into the Annual Report. It is requested that the name and address of a contact person familiar with the evaluation be included. |
| Notes | Smaller adjoining health authorities may wish to work together on an evaluation of a program or service of mutual interest. Health authorities are encouraged to advise each other of their evaluation plans, to facilitate collaboration and avoid unnecessary duplication. |

25. Percent of complaints where initial response is made within 3 working days.

| | |
|----------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Description and Rationale | Health authorities are required to have a process for addressing concerns and complaints about services. This measure monitors and reports on the percent of complaints that receive an initial response from the health authority within three working days. This initial response may simply be an acknowledgement that the concern has been received and will be addressed. |
| Regional Target | Percent of complaints receiving a response within 3 working days; to be determined by the health authority. |
| Data and Method | Developed by the health authority |
| Source | Health Authority. |
| Annual Report | Results on this measure may be included as part of a more detailed description of the concerns resolution process for the health authority. |

8.9 Health Workforce Plan

The Health Workforce Plan should be included as an appendix to the business plan. See Appendix V for details.

8.10 Community Health Councils

Health authorities should submit business plans for each community health council in their region. (This can be included as an appendix to the Health Authority Business Plan)

In accordance with legislative requirements, the health authority will identify:

- Plans to establish additional Community Health Councils.
- Any changes to the roles and functions of Community Health Councils.
- Plans of the health authority's health Councils for the years covered by the Business Plan.

8.11 Long Term Capital Plan

- Provide a brief overview of approved and proposed Major capital Projects included in the health authority's Long Term Capital Plan.
- A Major Capital Project is a project requiring a provincial capital contribution exceeding \$2.5 million.
- A Capital Upgrading Project is a project requiring a provincial capital contribution of \$2.5 million or less.

Approved Major Capital Projects

- For each approved Major capital Project that has not yet been completed, provide the following information:
 1. **Project Identification:** The location and name of the existing facility or proposed location of a new facility.
 2. **Project Description/Scope of Work:** A brief description of the proposed scope of work for the project.
 3. **Capital Requirements:** The total estimated capital cost of the project and the provincial contribution required.
 4. **Operating Expenditure Requirements:** If the project will require an increased allocation of health authority operating resources, provide an estimate of the additional annual cost. If the project will result in operational savings, provide an estimate.
- Capital funds provided by Alberta Infrastructure relating to approved Major Capital Projects should be identified in the statement of financial situation.
- It is not necessary to identify approved Capital Upgrading Projects in the narrative.

- Capital funds provided by Alberta Infrastructure relating to approved Capital Upgrading Projects should be identified in the statement of cash flows.
- Operating costs, related to approved Major Capital Projects and approved Capital Upgrading Projects scheduled for completion within the Business Plan period, must be included in the statement of financial position. These costs must also be disclosed, for each individual project, in the narrative portion of the financial section.

Proposed projects are included only as information in the narrative of the financial section to assist in reviewing and understanding the plan; a separate approval process for proposed projects is outlined in the Capital Planning Manual.

Proposed Major Capital Projects

- For each proposed new Major Capital Project for which the health authority will request approval during the Business Plan period provide the following information:
 1. **Project Identification:** The location and name of existing facility or proposed location of a new facility.
 2. **Project Description/Scope of Work:** A brief description of the proposed scope of work for the project.
 3. **Capital Requirements:** The total estimated capital cost of the project and the provincial contribution required.
 4. **Operating Expenditure Requirements:** If the project requires an increased allocation of health authority operating resources, provide an estimate of the additional annual cost. If the project will result in operational savings, provide an estimate.
- Proposed new Major Capital Projects should be listed in priority order. It is not necessary to identify proposed new Capital Upgrading Projects in the narrative.
- Proposed new projects approved during the Business Plan period can be included in the financial plan at that time.

8.12 Information Management and Technology Plan

Executive Summary of the Information Management and Technology Plan is to be included as an appendix to the business plan.

An executive summary of the health authority's strategic information management and technology plan is to be included as an appendix to the business plan. Identify key strategies that will be undertaken to respond to identified priorities and to ensure alignment with AH&W and provincial information system initiatives. Strategies will include implementation plans for applicable AH&W IM/IT initiatives including: Security Policy, Provincial Personal Health Identifier, Immunization/Adverse Reactions to Immunization, Pharmaceutical Information Network, and Alberta Telehealth. Financial information relating to the cost of IM/IT activities shall be disclosed in the notes to the financial component of the business plan.

8.13 Financial Information

Purpose

- To communicate the anticipated effects on health authority resources in carrying out the proposed business plan strategies.
- Health authorities are expected to submit a balanced budget, a deficit budget will not be accepted.
- A budget is balanced when revenues equal expenses. Revenues and expenses are to be determined in accordance with Generally Accepted Accounting Principles (GAAP)

A **balanced budget** is to be submitted

Financial Plan

Financial Plan, at a minimum, includes:

- Statement of Operations
- Statement of Financial Position
- Statement of Cash Flows
- Capital Equipment Plan
- Summary of Debt Level

- Must be included in the business plan in the format provided in appendices I, II, III and IV.
- At a minimum, must include:
 - Statement of Operations - explanation of changes in specific revenue and expense categories should be linked to the strategies identified in the narrative, where appropriate.
 - Statement of Financial Position (Balance Sheet)
 - Statement of Cash Flows
 - Capital Equipment Plan and
 - Summary of Debt Level.
- Additional information submitted with the plan and/or upon request of the Department may be needed to support the financial plan, i.e. a reconciliation of Alberta Health and Wellness and other government contributions.
- Use most recent information provided on funding targets.
- Use current rates for Alberta Health and Wellness approved fees and charges.
- One-time funding should not be built into future business plans and budgets.
- Narratives and notes must be provided to explain significant changes in operations and provide links to significant strategies. Historical and other available information should be used to provide context and to assist in the assessment of the plan. Included in the narratives will be documentation of the additional operation costs of Major Capital Projects and Major Capital Upgrades.

Deficit and Surplus

- "Accumulated deficit" is defined as a negative amount when summing unrestricted net assets and internally restricted net assets at the end of the fiscal year
- "Accumulated surplus" is defined as a positive amount when summing unrestricted net assets and internally restricted net assets at the end of the fiscal year

Capital Equipment Plan

- An important business planning consideration for health authorities is to identify capital equipment needed to deliver programs and services. Health authorities are therefore expected to formally set aside cash amounting to, a minimum of the annual internally funded equipment amortization not reinvested in capital equipment.
- Health authorities may also wish to finance capital equipment acquisitions from short and long-term borrowings including capital leases, within their borrowing by-laws.
- The capital equipment template provided in Appendix IV is designed to assist health authorities summarize their capital equipment needs. As a minimum, the Plan shall identify the proposed strategies to replace internally and externally funded capital equipment, including those at contracted facilities for which the health authority has primary responsibility.
- The Plan shall provide the basis and assumptions used, risk factors that can hinder the planned replacement, sources of funds, and other relevant information to enable Alberta Health and Wellness to assess the plan.
- The Capital Equipment Plan shall be signed by the health authority's Chief Executive Office and Chief Financial Officer signifying management's commitment to achieve the results indicated in the Plan.

Summary of Debt Level

- A health authority shall not exceed its debt limit indicated in its borrowing by-laws.
- Indicate new debt planned during the plan period.
- Indicate how the health authority plans to retire its total debt and the time frame for retirement.
- "Total debt" is defined as the sum of bank indebtedness plus the amount of long-term debt and capital lease obligations at the end of the plan period.

Elements of Health Authority Annual Reports

- Letter of Accountability
- Board Governance
- Organizational and Advisory Structure
- Major Initiatives/Accomplishments
- Contextual Information for Results Achieved
- Progress and Results
- Challenges and Future Directions
- Capital Plan
- Financial Summary
- Health Workforce Plan Progress
- Surgical Contracts under Health Care Protection Act

9. Health Authority Annual Reports

The principal function of the annual report is to report to the Minister on the activities, performance and achievements of the health authority concerning its legislated responsibilities and other responsibilities delegated to the authority by the Minister. The health authority annual report is an instrument of public accountability submitted to the Minister of Health and Wellness as the representative of the people. As such, it reports on key areas fundamental to good accountability: governance and organization, services, and financial results.

It highlights the accomplishments, progress and results achieved over the year, and explains any significant variation between planned performance and actual performance. The annual report is based on the health authority business plan for the first fiscal year of the three-year planning cycle, for example, the health authority annual report for 2001/2002 is based on the health authority business plan for 2001/2002 to 2003/2004.

Reporting results achieved is an important part of the accountability cycle. The annual report also includes an analysis of results that identifies areas of strong performance and those needing improvement. The areas requiring improvement should be addressed in subsequent business plans. The following elements are to be included in health authority annual reports for 2001/2002 and 2002/2003.

Required Letter of Accountability

We have the honor to present the annual report for the _____ Health Authority, for the fiscal year ended March 31, ____.

This annual report was prepared under the Board's direction, in accordance with the *Government Accountability Act, Regional Health Authorities Act* and directions provided by the Minister of Health. All material economic and fiscal implications known as at July 31, ____ have been considered in preparing the annual report.

Respectfully Submitted on Behalf of
_____ Health Authority,

Signed by Health Authority Chair

9.1 Letter of Accountability from Health Authority Chair

- Confirms the annual report was developed in accordance with appropriate legislative authority and government requirements.
- Must be incorporated into the report, using the wording specified.
- Indicates that the Board has approved the report.

9.2 Board Governance

Briefly describes:

- The primary roles and responsibilities of the Board.
- The important activities and decisions of the Board.
- The relationship between the Board and senior management.
- Major consultations with the public and other stakeholders.
- How the board assures itself that the business plan is implemented, that funds are allocated appropriately, and that effective systems of control and legislative compliance are maintained.
- The methods used to maintain board transparency.
- How the board addresses risk management.
- The process for self-assessment of board performance.

9.3 Organizational and Advisory Structure

- Describes the current organizational and advisory structure.
- Identifies changes to the organizational and advisory

structure that occurred during the year.

- Includes an overview of the Community Health Councils: names, dates established, mandate, accomplishments.
- Includes names telephone number, address or e-mail by which the public can contact the health authority board and senior management.

9.4 Major Initiatives/Accomplishments

- Briefly highlights and summarizes major initiatives and accomplishments over the last year.

9.5 Contextual Information for Results Achieved

- Provides a description of relevant geographical, social and economic environment in which results were achieved.
- Includes, but is not limited to, pertinent findings from community needs assessments and information about health authority resources (both people and facilities), and factors affecting the health of the population of the health authority.
- Identifies key health authority priorities for the year, as determined by the board and stated in the plan.
- May include health status indicators such as life expectancy and information on health determinants such as education levels or poverty.

9.6 Progress and Results

- Includes all the goals and strategies from the health authority's business plan and reports, in narrative form, progress in implementing the strategies.
- The relevant performance measures and results should be integrated into the report on progress; they are not to be reported separately from the goals and strategies.
- Includes information about the performance measures identified in the business plan for each goal, along with any supporting information that can help explain or clarify the results.
- Includes the health authority's performance target and recent trend information along with the performance measure results.
- Compares results achieved to the target; indicates for each performance measure where results are satisfactory or exceed expectations and identifies areas for improvements to be addressed in the next plan.
- Provides an analysis and explanation for differences between achievements and targets established for business

plan goals.

- Includes other relevant information to support explanation and analysis of results, progress, challenges and future directions as appropriate.
- May compare health authority results with provincial results and provincial performance targets, or with comparable health authorities or organizations.
- Links the analysis of results to the contextual information for explanation of key results.
- Clearly identifies information sources.

9.7 Challenges and Future Directions

- Are determined from the analysis of results presented in the previous section of the report.
- Are based on facts already presented in the report; for example, as contextual information, progress on strategies, results achieved, or performance targets not achieved.
- Identifies areas to be addressed in the next planning cycle.

9.8 Capital Plan

- Provides a brief overview of progress on the health authority's long term capital plan.

9.9 Financial Summary

The Annual Report shall include the following:

- An audited financial statement.
- A Statement of Management Responsibility for Financial Reporting, as discussed in FD-18.
- Management Discussion and Analysis (MD&A).
- Explanation of any line item variance between budget and actual amounts of greater than 10%. Any additional information that can improve the communication value of the annual report may be provided.
- Key Financial Indicators (KFI) on a three-year trend for the items described below.
 - Ratio of Administration Cost.
 - Adjusted Working Capital Ratio.
 - Import/Export Funding Adjustment Ratio.
 - AH Funding Coverage Ratio.
 - Remaining Useful Life of Capital Equipment.
 - Borrowing Accessed Ratio.
 - Distribution of Expense Ratio.
 - Equipment reinvestment to consumption.
 - Internally funded equipment.

- Externally funded equipment.
- Cumulative internally funded equipment.
- Cumulative externally funded equipment.
- Remaining useful life of facilities.
- Facility and improvements reinvestment to consumption.
- Internally funded facility and improvements.
- Externally funded facility and improvements.
- Cumulative internally funded facility and improvements.
- Cumulative externally funded facility and improvements.
- Alberta Health and Wellness funding per capita.
- Funding per capita, net of import/export.

9.10 Health Workforce Plan Progress

Health Authorities must report on the results or progress of health workforce strategies completed or underway in their annual reports. See Appendix V for details.

9.11 Surgical Contracts under Health Care Protection Act

The annual report of the health authority must include a summary of results from the annual performance reports submitted during the fiscal year to the health authority by surgical facilities under an agreement. For each broad service area, the health authority's annual report should also discuss the extent to which expected public benefit anticipated in the proposal to the Minister was achieved. The discussion must include reference to any improvements in the operations of the health authority, reduction in wait-lists and costs, flexibility to patients and any other matters relevant to the strategy to contract out surgical services. The discussion must closely relate to the rationale provided to the Minister for approval in the proposals.

Financial Reporting

In the health authority's audited financial statements financial information pertaining to surgical facility contracts must include:

- The name of the entity with which the health authority has an agreement.
- The nature of the service.
- The term of the agreement.
- The annual value of the agreement.
- The total amount paid or accrued to the surgical facility during the fiscal year (FD-18).

**HEALTH AUTHORITY BUSINESS PLAN
FINANCIAL PLAN TEMPLATE-1
HEALTH AUTHORITY :
SECTION A - STATEMENT OF
OPERATIONS**

2002-2003 HEALTH AUTHORITY BUDGET ESTIMATES
(thousands of dollars)

| | 2000-2001 | 2001-2002 | 2002-2003 | 2003-2004 | NOTE REFERENCE TO EXPLAIN CHANGES |
|-----------------------------------------------------|-----------|-----------|-----------|-----------|--------------------------------------------|
| | ACTUAL | FORECAST | BUDGET | BUDGET | |
| | \$ | \$ | \$ | \$ | |
| REVENUE | | | | | |
| Alberta Health and Wellness Contributions | X | X | X | X | |
| Other Government Contributions | X | X | X | X | |
| Fees and Charges | X | X | X | X | |
| Ancillary Operations, net | X | X | X | X | |
| Donations | X | X | X | X | |
| Investment and Other Income | X | X | X | X | |
| Amortization of External Capital Contributions | X | X | X | X | |
| TOTAL REVENUE | 0 | 0 | 0 | 0 | |
| EXPENSES | | | | | |
| Facility-based Inpatient Acute Services | X | X | X | X | |
| Facility-based Emergency and Outpatient Services | X | X | X | X | |
| Facility-based Continuing Care Services | X | X | X | X | |
| Community & Home Based Services | X | X | X | X | |
| Diagnostic & Therapeutic Services | X | X | X | X | |
| Promotion, Prevention and Protection Services | X | X | X | X | |
| Research & Education | X | X | X | X | |
| Administration | X | X | X | X | |
| Information Technology and we//net | X | X | X | X | |
| Y2K Remedial costs | X | X | X | X | |
| Support Services | X | X | X | X | |
| Amortization of Facilities and Improvements | X | X | X | X | |
| Capital Assets Write Down | X | X | X | X | |
| TOTAL EXPENSES | 0 | 0 | 0 | 0 | |
| Excess(deficiency) of revenues over expenses | 0 | 0 | 0 | 0 | |

X Indicates Information required if applicable

HEALTH AUTHORITY BUSINESS PLAN
FINANCIAL PLAN TEMPLATE II

HEALTH AUTHORITY:

SECTION B - STATEMENT OF FINANCIAL POSITION

STATEMENT OF FINANCIAL POSITION

(thousands of dollars)

ASSETS

Current:

Cash and temporary investments
Accounts Receivable
Contributions receivable
Inventories
Prepaid expenses

| 2000-2001 ACTUAL \$ | 2001-2002 FORECAST \$ | 2002-2003 BUDGET \$ | 2003-2004 BUDGET \$ |
|---------------------------|-----------------------------|---------------------------|---------------------------|
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| 0 | 0 | 0 | 0 |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| 0 | 0 | 0 | 0 |

Non-current cash and investments

Capital assets
Other assets

TOTAL ASSETSLIABILITIES AND NET ASSETS

Current:

Bank indebtedness
Accounts payable
Accrued vacation pay
Deferred contributions
Current portion of long-term debt

| | | | |
|---|---|---|---|
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| 0 | 0 | 0 | 0 |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| 0 | 0 | 0 | 0 |
| X | X | X | X |
| X | X | X | X |
| X | X | X | X |
| 0 | 0 | 0 | 0 |
| X | X | X | X |
| 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 0 |

Net assets:

Unrestricted
Internally restricted
Investment in capital assets
Operating net assets

Endowments

TOTAL LIABILITIES AND NET ASSETS

X Indicates Information required if applicable

HEALTH AUTHORITY BUSINESS PLAN

FINANCIAL PLAN TEMPLATE- III

HEALTH AUTHORITY:

SECTION C - STATEMENT OF CASH FLOWSSTATEMENT OF CASH FLOWS

(thousands of dollars)

Cash generated from (used by):**Operating activities**

Excess (deficiency) of revenues over expenses

Non-cash transactions:

Amortization of capital equipment - internally funded

- externally funded

Amortization of facilities & improvements

Amortization of external capital contributions

Loss (gain) on disposal of capital equipment

Loss (gain) on disposal of facilities and improvements

Loss (gain) on disposal of investments

Write down of capital assets

Change in non-cash working capital account

Cash generated (used by) operations**Investing activities:**

Purchase of investments

Purchase of capital assets:

internally funded

externally funded - equipment

- facilities & improvements

Proceeds on sale of investments

Allocations to non-current cash

Contributed assets put into service

Cash generated (used by) investing activities**Financing activities:**

Endowment contributions received

Principal payments on long-term debt

Proceeds from long-term debt

Cash generated (used by) financing activities

Increase (decrease) in cash and temporary investments

Cash and temporary investments, beginning of year

Cash and temporary investments, end of year

Non-current cash and investments at end of year

Total cash and temporary investments and non-current investments at end of year**Additional information:**

(1) Non-cash working capital balance at end of period

(2) Total cash & temporary investments & non-current investments are comprised of:

Externally Restricted

Board Restricted

Unrestricted

X Indicates Information required if applicable

| 2000-2001 ACTUAL \$ | 2001-2002 FORECAST \$ | 2002-2003 BUDGET \$ | 2003-2004 BUDGET \$ |
|---------------------------|-----------------------------|---------------------------|---------------------------|
| | | | |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| 0 | 0 | 0 | 0 |
| x | x | x | x |
| x | x | x | x |
| x | x | x | x |
| 0 | 0 | 0 | 0 |

HEALTH AUTHORITY BUSINESS PLAN
FINANCIAL PLAN TEMPLATE- IV
HEALTH AUTHORITY:
SECTION D - CAPITAL EQUIPMENT PLAN

Appendix IV

CAPITAL EQUIPMENT PLAN

(thousands of dollars)

Net Book Value

| 2000-2001 ACTUAL | 2001-2002 FORECAST | 2002-2003 BUDGET | 2003-2004 BUDGET |
|---------------------|-----------------------|---------------------|---------------------|
|---------------------|-----------------------|---------------------|---------------------|

Cost at beginning of year

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Acquisitions

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Disposals

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Sub Total - Cost

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Accumulated Amortization at beginning of year

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Amortization -current year

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Amortization on disposal

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Sub Total - Amortization

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Net Book Value

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Proposed Acquisitions

Capital equipment replacement

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Specific initiatives equipment needs

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Total Acquisitions

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Expected Funds Available

From current operating surplus

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Set aside in earlier years

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Restricted contributions from other sources

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Restricted contributions from Alberta Health

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Total Funds Available

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Surplus (shortfall) in available funds

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

Shortfall To Be Financed By:

Short-term borrowings

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Other financing arrangement

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Long-term debt

| | | | |
|---|---|---|---|
| x | x | x | x |
|---|---|---|---|

Total borrowing for capital equipment

| | | | |
|---|---|---|---|
| 0 | 0 | 0 | 0 |
|---|---|---|---|

X Indicates Information required if applicable

Chief Executive Officer _____ Date _____ Chief Financial Officer _____ Date _____

HEALTH AUTHORITY BUSINESS PLAN HEALTH WORKFORCE PLAN TEMPLATE

GOALS/DESIRED RESULTS

To encourage the optimal utilization of health professionals/health care workers

- Health Workforce plan is developed maintained and monitored.
- Identify significant health workforce issues and develop plans and strategies for addressing issues.
- Develop human resource plans for each new business plan strategy predicted to have significant human resource impacts.

1. Personnel Counts (as of March 31, 2001)

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|----------------------------|-----------------|-----|------------|----|----|-----|-----|-------------|
| Regular Full-Time | | | | | | | | |
| Regular Part-Time | | | | | | | | |
| Temporary | | | | | | | | |
| Casual | | | | | | | | |
| Total Current/Active Staff | | | | | | | | |
| Total Current/Active FTE | | | | | | | | |
| Leaves of Absence | | | | | | | | |
| Leaves of Absence FTEs | | | | | | | | |
| Total Employee Count | | | | | | | | |
| Total FTE | | | | | | | | |

¹ RN- refers to Registered Nurses and Registered Psychiatric Nurses. See definitions section for more detail.

Note: When reporting LOAs, do not include with Regular staff, if possible, to ensure they are not counted twice.

Health Authorities should provide limitations or considerations required to explain the data they have submitted.

2. Personnel Forecasts For March 31 2003*

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|-----------|-----------------|-----|------------|----|----|-----|-----|-------------|
| FTE Count | | | | | | | | |

*Please include Your Anticipated New Hires (not total numbers of FTEs/staff)

3. Personnel Forecasts For March 31 2004*

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|-----------|-----------------|-----|------------|----|----|-----|-----|-------------|
| FTE Count | | | | | | | | |

*Please include Your Anticipated New Hires (not total numbers of FTEs/staff)

4. Personnel Forecasts For March 31 2005*

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|-----------|-----------------|-----|------------|----|----|-----|-----|-------------|
| FTE Count | | | | | | | | |

*Please include Your Anticipated New Hires (not total numbers of FTEs/staff)

5. Separations

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|---------------------------------------------------------------------|-----------------|-----|------------|----|----|-----|-----|-------------|
| Number of separations between April 1, 2000 to March 31, 2001 | | | | | | | | |
| Regular | | | | | | | | |
| Temporary/Casual | | | | | | | | |

6. Staff Older Than 50 Years of Age

| | RN ¹ | LPN | PCA/ NA | PT | OT | SLP | DMS | HA Total |
|--------------------------------------------------------|-----------------|-----|------------|----|----|-----|-----|-------------|
| Number of Staff 50 or Older as of March 31, 2001 | | | | | | | | |
| Regular | | | | | | | | |
| Temporary/Casual | | | | | | | | |

7. Cost of Sick Time as a Percentage of Total Salaries

| | |
|-------------------------------------------|--|
| Cost of Sick Time as of March 31, 2001 | |
| Sick Time as a Percentage of Total Salary | |

8. Human Resource Implications of New Business Plan Strategies

| New Strategy | Human Resource Implications/Impact |
|--------------|------------------------------------|
| | |

For each new strategy identified in Health Authority Business Plans, which is predicted to have significant human resource impacts, appropriate human resource or staffing strategies are required. For each relevant strategy (identified by strategy name and number), corresponding text regarding human resources plans should be outlined.

9. Human Resource Information Strategy

Health Authorities should identify their plans to participate in the Health Workforce Information Network (HWIN). These plans will include information about source systems as well as a plan to implement the electronic transfer of data.

| | |
|-------------------------------------------------------|--|
| Current Human Resource System | |
| Plans for Upgrading Your Source System (if necessary) | |

10. Issues and Strategies

Health Authorities should identify their most significant current health workforce issues. For each issue stated, an indication of corresponding plans and strategies for addressing the issue must be provided.

| Issues | Strategies |
|--------|------------|
| | |

Definitions

Registered Nurse (RN): Individuals practicing nursing duties who are registered with the Alberta Association of Registered Nurses (AARN) or the Registered Psychiatric Nurses Association (RPNAA). For data reporting purposes, there will be a need to combine the data for registered nurses employed in acute care institutions with the data for registered nurses employed in community settings.

Licensed Practical Nurses (LPN): Individuals who are registered as a regulated member of the College of Licensed Practical Nurses of Alberta and practicing their profession.

Physical Therapists (PT): Individuals who are registered as a regulated member of the College of Physical Therapists of Alberta and practicing their profession.

Occupational Therapists (OT): Individuals who are registered as a regulated member of the Albert Association of Registered Occupational Therapists and practicing their profession.

Speech Language Pathologists (SLP): Individuals whose practice includes assessing, diagnosing, rehabilitating and preventing communication, oral motor and pharyngeal dysfunction and disorders. Speech Language Pathologists are currently unregulated in Alberta. However, there is voluntary registration with the Speech Language and Hearing Association of Alberta.

Diagnostic Medical Sonographers (DMS): Diagnostic medical sonographers operate ultrasound equipment to produce and record images of the motion, shape and composition of blood, organs, tissues and bodily masses such as fluid. DMS have a post-graduate diploma in sonography. Most DMS were originally trained as registered nurses or x-ray technologists.

Personal Care Aide/ Nursing Aide (PCA/NA): These are unregulated staff who provide a wide range of personal support services that clients have been assessed as being unable to perform.

Regular Full-Time Employee: An individual with regularly scheduled shifts who is required to work the number of hours specified for full-time employment in the collective agreement or employment contract.

Regular Part-Time Employee: An individual who works regularly scheduled shifts, but the hours of work are less than those specified for full-time employment in the collective agreement or employment contract.

Casual Employees: An employee who works for irregular periods on a "call-in" basis, and does not occupy a regular or temporary position.

Temporary Employees: Individuals who are hired on a term-specific basis for project work, or to replace employees who are away.

Employees on Leave of Absence: Regular employees who are on leave of absence without pay (such as employees on maternity leave, educational leave, long-term disability and workers' compensation).

Full-Time Equivalent Employment for a Particular Occupation (FTE): "Full-time equivalent employment" for a particular occupational group at a specific point in time, is calculated by dividing the total number of hours worked by all employees belonging to the specified occupational group, by the standard number of hours worked by a full-time employee of the occupational group (as specified in the collective agreement or employment contract).

Separations: Permanent departures of individuals from employment as reported to Revenue Canada (excluding partial lay-offs), during the previous fiscal year (from April 1 to March 31).

PLANNER'S CHECKLIST FOR THE BUSINESS PLAN

The purpose of the checklist is to assist planners in ensuring that all required components of Health Authority Business Plans are included in the submission.

Required components include:

- 8.1 Statement of Accountability**
- 8.2 Vision**
- 8.3 Mission**
- 8.4 Core Businesses**
- 8.5 Opportunities and Challenges**
- 8.6 Goals**
- 8.7 Required Areas of Strategy Development (including province-wide services where relevant)**
- 8.8 Performance Measures, Targets, and Key Indicators**
- 8.9 Health Workforce Plan attached as Appendix**
- 8.10 Community Health Council**
- 8.11 Long Term Capital Plan**
- 8.12 Executive Summary of Information Management and Technology Plan attached as Appendix**
- 8.13 Financial Information**
 - **Statement of Operations**
 - **Statement of Financial Position**
 - **Statement of Cash Flows**
 - **Capital Equipment Plan**
 - **Summary of Debt Level**

Assumptions and Risks

Submitted as a separate document at the same time that the Business Plan is submitted.

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